

NEIGHBORHOOD DEVELOPMENT FUND

Not-for-Profit Request

DATE:

7-11-06

TO:

Appropriations Committee

FROM:

Council Member

Hamilton

RE:

Request for Neighborhood Development Fund to be considered by the Appropriations Committee.

I have reviewed the attached Proposal in the amount of \$ 3,000.00 through the Metro Council for Portland Plaza Resident Council have found it complete and within our guidelines. I/We have read the organization's statement of public purpose to be furthered by the funds requested and I/We agree that the public purpose is legitimate. I/We have also completed the disclosure section below.

Please add this Grant Proposal Agreement to the agenda of the next Appropriations Committee Meeting.

Cheri R. Hamilton \$3000.00

Signature of Council Member

Signature of Council Member

Signature of Council Member

Signature of Council Member

Signature of Council Member

Signature of Council Member

Signature of Council Member

Signature of Council Member

DISCLOSURE

List below any relation you have with the organization requesting the grant (your, your family, your legislative assistant or any city employee to this organization and to any member of the organization's board of directors or their employees.)

Approved by:

Appropriations Committee Chairman

Date

OFFICE OF METRO COUNCIL CLERK

RECEIVED

DATE 7/12/06 TIME: 4:30 PM



**SECTION ONE:**  
**DESCRIPTION OF APPLICANT AGENCY/ORGANIZATION**

**IDENTIFYING INFORMATION**

- I. Official Name of Agency/Organization (Agency) as listed with the Kentucky Secretary of State:  
Portland Plaza Resident Council
- II. Organization number as listed with the Kentucky Secretary of State: 0602916
- III. List any "working" or "does business as" names for organization: N/A
- IV. Address of main office: (street and zip + 4) 3400 Portland Plaza, 40212
- V. P. O. / mailing address if different: N/A (zip + 4) \_\_\_\_\_
- VI. Phone # (502) 772.1400 Fax# (502) 774.8018
- VII. E-Mail John.Barrow@Aimco.com
- VIII. Agency's Legal Signatory/Title  
Name \_\_\_\_\_  
Title \_\_\_\_\_
- IX. Contact person responsible for application:  
A. Name: John Barrow  
B. Phone # (502) 772.1400 Fax# (502) 774.8018  
C. E-Mail John.Barrow@Aimco.com

**DESCRIPTION OF AGENCY**

- I. Describe your Agency's vision, mission and services:

The mission of the organization is to improve the quality of life for the residents of Portland Plaza.

The Resident Council is composed of the residents of Portland Plaza and selected community leaders.

- II. Total number of Board members 77
- III. Number of Board meetings held to date in current fiscal year 77
- IV. Average attendance at Board meetings 15

#### **FACILITIES**

I. List location(s) and terms (owned, rented, leased, or donated).

- A. Portland Plaza Community room available at no cost
- B. \_\_\_\_\_
- C. \_\_\_\_\_
- D. \_\_\_\_\_

II. Are all facilities handicapped accessible? Yes ☒ No \_\_\_\_\_

III. If no, please explain:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

#### **FINANCIAL INFORMATION**

I. Agency's fiscal year from (month) Jan 1 to (month) Dec. 31

II. Does your Agency anticipate a significant increase or decrease in your budget from the current fiscal year to the budget projected for next fiscal year? No ☒ Yes \_\_\_\_\_

III. If yes, please explain.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

IV. For the **current fiscal year**, list funds received from Louisville Metro Government, including funds from any department, office, etc. in either the former City of Louisville or Jefferson County.

\$ 3,000 Source: Metro Health Dept.

\$ \_\_\_\_\_ Source: \_\_\_\_\_

\$ \_\_\_\_\_ Source: \_\_\_\_\_

\$ \_\_\_\_\_ Source: \_\_\_\_\_

**V. Provide one copy only of each of the following, as appropriate (4 points):**

- ✓A. Articles of Incorporation.
- ✓B. Approved budget or executive summary for your Agency's current fiscal year.
- ✓C. Proof of IRS 501(C) (3) status, or application for this IRS status, if applicable.
- ✓D. Staffing structure for entire Agency, including organizational chart.
- ✓E. Board member list; specify chair, vice-chair, secretary, and treasurer.
- F. If your Agency is an employer required to have a written Affirmative Action/Equal Employment Opportunity policy: copy of policy.
- G. If rent/occupancy costs are being requested: copy of the signed lease.
- H. If program participants have the opportunity to evaluate the services received: one copy each of any forms used.

**VI. List below any relationship any members of your Board of Directors or employees have with any Metro Council Member, Council Member's family, Council Member's staff, or any Louisville Metro Government employee.**

**VII. I certify under the penalty of law that the information in this application is accurate to the best of my knowledge. I am aware that my Agency will not be eligible for funding if investigation at any time shows falsification. If falsification is shown after funding has been approved, any allocations already received and expended are subject to be repaid. I further certify that I am authorized to sign this application for the Agency.**

Name of Legal Signatory: (type or print) Sylvia Crowe

Title: President

Signature Sylvia A Crowe

Date 6/19/06

LOUISVILLE METRO COUNCIL  
APPLICATION FORM FOR  
NEIGHBORHOOD DEVELOPMENT FUNDS  
(2005-2006)

Proposed Activity/Need: Cultural Enrichment  
Name of Applicant Agency: Portland Place Resident Council  
AMOUNT OF FUNDING REQUESTED \$3,000

I. Contact Person responsible for the Activity described in this proposal:

A. Name Sylvia Crowe or Mae Armour  
B. Title President / Chairperson  
C. Phone # (502) 772-1400 Fax # (502) 774-8018  
D. E-mail John.Barrow@Aimco.com

2. If funded, this activity will further which of the major goals of Louisville Metro listed below.

- ☒ Bringing Us Together  
☐ Keeping Us Safe  
☐ Promoting Education and Growing Jobs  
☐ Enhancing Neighborhoods and Protecting Our "Louisville" Quality of Life

3. If funded, this activity will strengthen (check one):

- ☐ Youth (teenagers, ages 13-19)  
☐ Human Services (Citizens with barriers to meeting basic human needs)  
☐ Arts/cultural  
☐ Neighborhoods  
☐ Business Associations  
☐ Parks  
☒ Community Activities and Events  
☐ Other: if you do not believe your proposal fits any of the above, please describe the nature of your request:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. If approved, Louisville Metro Funds will be used for (check one)

- ☒ Operating Funds (cannot exceed 33% of agency's total budget)  
☐ Programming/services/events for direct benefit to community or qualified individuals  
☐ Capital equipment (small operating equipment which may be used to benefit the individuals or community being served. (No building or renovations)

5. PROPOSAL DESCRIPTION: Describe how you are going to further one of the four major goals of Louisville Metro Government by this proposal. (See #2)

*See attached*

6. Describe the activity being proposed to address the goal.

*See attached*

7. Describe how the funding is to be used. BE SPECIFIC.

*See attached*

8. Describe the results/goals for this proposal. How will you know it is successful?

*See attached*

**EXPECTATIONS/REQUIREMENTS INCLUDE BUT ARE NOT LIMITED TO:**

- a. Participate in post-award training.
- b. Make all program and financial records available to any monitors from Louisville Metro to assure compliance with the approved funding.
- c. Failure to provide the services, programs or projects included in the agreement will result in funds being withheld, or in requirement for reimbursing Louisville Metro.
- d. Return to Louisville Metro of any unexpended funds by July 31, 2006.
- e. Documentation of all expenditures (canceled checks, receipts, paid invoices )

**COMPLETE PAGE 3 -BUDGET SUMMARY STATEMENT FOR THIS PROJECT.**

**STAFF ONLY:**

\_\_\_\_\_ Description of Applicant Agency/Organization Complete

\_\_\_\_\_ All documentation is attached: 501(c)3 status, Articles of Incorporation, Secretary of State status, EIN (Employer Identification Number)

5. PROPOSAL DESCRIPTION: Describe how you are going to further one of the four major goals of Louisville Metro Government by this proposal. (See #2) For years Portland enjoyed the annual local performance of Dickens Christmas Carol. It has been performed at the local Library, youth agencies and in public events such as the Dickens on Main Street festival. Our Goal is to continue this Holiday tradition in Portland with this intra-generational event. Seniors at Portland Plaza are excited about performing with area youth. This event will bring us together in a wonderful celebration.

6. Describe the activity being proposed to address the goal.  
We will recruit audition and train seniors and youth to perform a holiday production of Dickens Christmas Carol.

7. Describe how the funding is to be used. BE SPECIFIC.  
A qualified drama instructor will be required to produce the desired results. Funding will also be needed to obtain props, lighting, and sound systems. Operating supplies such a script's and programs.

8. Describe the result/goals for this proposal. How will you know it is successful?  
The intra-generational production of Dickens Christmas Carol will in itself be the successful crowning event of this program. We hope by continuing this Portland tradition we will bring the entire community together for a wonderful holiday celebration.

PROJECT/PROGRAM BUDGET SUMMARY STATEMENT

AGENCY NAME: Portland Plaza Resident Council

Project/Program Name: Cultural Enrichment

This Project/Program Proposal is # 1 of 1



| REVENUES ANTICIPATED  | 2005-2006                     | %<br>of Total<br>Revenue |
|---|-------------------------------|--------------------------|
|   | Round to the nearest<br>\$100 |                          |
| Louisville Metro Government<br>Requested of Metro Agency: Metro Council | \$ 3,000                      |                          |
| State of Kentucky   | —                             |                          |
| Federal Government<br>(Including Federal Pass-thru to State)            | —                             |                          |
| United Way  | —                             |                          |
| Fees for Services   | 100                           |                          |
| Private Contributions   | 500                           |                          |
| Interest Income   | —                             |                          |
| Other Sources<br>(Please specify)                                       | —                             |                          |
|   |                               |                          |
|   |                               |                          |
|   |                               |                          |
| TOTAL REVENUES  | \$ 3,600                      | 100%                     |

| OPERATING EXPENSES                               |          |      |
|--|----------|------|
| Personnel (including all fringes)                | 1,550    |      |
| Operating (Contractual and Supplies)             | 1,800    |      |
| Capital Equipment<br>(Small Operating Equipment) | 250      |      |
|  |          |      |
| TOTAL EXPENDITURES                               | \$ 3,600 | 100% |

|  |          |
|--|----------|
| Value of in-kind assets, such as donated space, supplies, use of equipment, etc. | \$ 2,000 |
| Value of volunteer services and how computed:<br><u>Volunteer board and</u>      | \$ 2,000 |

Portland Plaza staff  
volunteer support.



TREY GRAYSON  
SECRETARY OF STATE



0602916.09 Docment NAO  
Trey Grayson  
Secretary of State  
Received and Filed  
01/07/2005 9:01:35 AM  
Fee Receipt: \$8.00

ARTICLES OF INCORPORATION  
Nonprofit Corporation

For the purposes of forming a nonprofit corporation in Kentucky Pursuant to KRS Chapter KRS 273, the undersigned Incorporator(s) hereby submit(s) the following Articles of Incorporation to the Secretary of State for filing:

Article I: The name of the corporation is Portland Plaza Resident Council Inc.

Article II: The purpose for which the corporation is organized is Charitable, civic and social

Article III: The street address of the corporation's initial registered office in Kentucky is  
3400 Portland Plaza Louisville KY 40212  
Street City State Zip Code

and the name of the initial registered agent at that office is JOHN BARROW

Article IV: The mailing address of the corporation's principal office is  
3400 Portland Plaza Louisville KY 40212  
Street or PO Box Number City State Zip Code

Article V: The number of directors constituting the initial board of directors is 4. The names and mailing addresses of the persons who are to serve as the initial board of directors are as follows:

Jewell Smith 3431 Portland Plaza Louisville KY 40212  
Name Street or PO Box Number City State Zip Code

Lucy Smith 3421 11 11 11 11  
Name Street or PO Box Number City State Zip Code

Bobby Bibb 3423 11 11 11 11  
Name Street or PO Box Number City State Zip Code

Sue Wathen 3407 11 11 11 11  
Name Street or PO Box Number City State Zip Code

Article VI: The name and mailing address of each incorporator is  
John Barrow 3400 Portland Plaza Lov. KY 40212  
Name Street or PO Box Number City State Zip Code

John Barrow 3400 Portland Plaza Lov. KY 40212  
Name Street or PO Box Number City State Zip Code

John Barrow 3400 Portland Plaza Lov. KY 40212  
Name Street or PO Box Number City State Zip Code

Executed by the Incorporator(s) on 1/5/05  
Date

John Barrow  
Signature of Incorporator

Signature of Incorporator

Document No. DN2005013351  
Lodged By: PORTLAND PLAZA RESIDENT  
Recorded On: 01/26/2005 11:40:31  
Total Fees: 9.00  
Transfer Tax: .00  
County Clerk: BOBBIE HOLSCLOW-JEFF CO KY  
Deputy Clerk: SHECH

consent to serve as the registered agent on behalf of the corporation

John Barrow  
Signature of Registered Agent  
Type or Print Name & Title

This form does not comply with the 501 (C) status. You should contact the Internal Revenue Service prior to filing the Articles of Incorporation.

DN2005013351  
SOS NAOI (11/02)

(See attached sheet for instructions)

END OF DOCUMENT

Trey Grayson  
Secretary of State  
Received and Filed

06/06/2005 10:37:03 AM

Fee Receipt: \$8.00

ARTICLES OF AMENDMENT  
OF  
PORTLAND PLAZA RESIDENT COUNCIL

ARTICLE I  
NAME

The name of the corporation is "Portland Plaza Resident Council Inc."  
(Hereinafter the Corporation)

ARTICLE II

The following amendments are adopted.

Said organization is organized exclusively for charitable, religious, educational and/or scientific purposes, including for such proposes the making of distributions to organizations that qualify as exempt organizations under section 501 (c) 3 of the Internal Revenue Code or corresponding action of any future federal tax code.

ARTICLE III

At the May 10<sup>th</sup> 2005 meeting with a quorum present the following amendments where adopted.

Initial Registered Office and Agent  
Portland Plaza C/O Jewell Smith President  
3400 Portland Plaza Louisville, KY 40212

ARTICLE IV

Principal office

Portland Plaza Resident Council  
3200 Portland Plaza  
Louisville, KY 40212

ARTICLE V

Duration

The Corporation shall have perpetual existence.

ARTICLE VI

Directors

A Board of Directors in the manner provided in the bylaws shall manage the affairs of the Corporation. In addition, the Bylaws shall provide the number

and classes of directors, the term of office, method of election, removal procedures and such other matters pertaining or relating to the duties and office of director. In no event shall there be fewer than three (3) directors.

The members of the initial Board of Directors of the Corporation shall serve until the first annual election. The names and addresses of the initial directors are:

Jewell Smith. 3431 Portland Plaza. Louisville, KY 40212  
Lucy Smith 3421 Portland Plaza. Louisville, KY 40212  
Sue Wathen 3407 Portland Plaza. Louisville, KY 40212  
Bobby Bibb 3423 Portland Plaza, KY 40212

## ARTICLE VII

### Members

The Corporation's members shall be the residents of Portland Plaza over the age of 18.

Members shall have all voting rights accorded to non-profit corporations under the Kentucky Non-Profit Corporation Act as provided in these Articles of Incorporation and as provided in the Corporations Bylaws.

No part of the net earnings of the organization shall insure to the benefit of or be distributable to its members, trustees officers or other private persons except that the organization shall be authorized and empowered to pay reasonable compensation for services rendered and to make payments and distributions in furtherance of the purposes set forth in the purpose clause hereof. No substantial part of the activities of the organization shall be the carrying on of propaganda or otherwise attempting to influence legislation and the organization shall not participate in or intervene in (including the publishing or distribution of statements) any political campaign on behalf of any candidate for public office. Notwithstanding any other provision of this document the organization shall not carry on any other activities not permitted to be carried on (a) by an organization exempt for federal income tax under section 501-c-3 of the internal revenues code or corresponding section of any future federal tax code or (b) by an organization, contributions to which are deductible under section 170-c-2 of the Internal Revenue Code or corresponding section of any future federal tax code.

Upon the dissolution of the organization assets shall be distributed for one or more exempt purposes within the meaning of section 501 (c) 3 of

the Internal Revenue Code or corresponding section of any future federal tax code or shall be distributed to the federal government or to a state or local government for a public purpose. Any such assets not disposed of shall be disposed of by a court competent jurisdiction in which the principal; office of the organization is located exclusively for such purposes or to such organization or organizations as said court shall determine which are organized and operated exclusively for such purposes.

Approved Sue Wathen Secretary

Sue Wathen

# Financial Statement for Portland Plaza Resident Council

## Current financial statement

### Income:

|                           |               |
|---------------------------|---------------|
| Grants and donations..... | \$4,500       |
| Yard Sale .....           | \$ 550        |
| Special events.....       | \$ 600        |
| Fees for service.....     | \$ 500        |
| Sales to the public.....  | \$1,000       |
| Miscellaneous.....        | <u>\$ 119</u> |

Total...\$7,269

### Expenses:


|                                   |               |
|-----------------------------------|---------------|
| Instructor fees casual labor..... | \$2,900       |
| Transportation related fees.....  | \$2,200       |
| Client Assistance.....            | \$ 650        |
| Office supplies.....              | \$ 450        |
| Equipment and supplies.....       | \$ 550        |
| Welcome Wagon.....                | \$ 150        |
| Fees.....                         | \$ 100        |
| Art supplies.....                 | <u>\$ 269</u> |

Total...\$7,269

We have completed all the requirements for being recognized as a 501-C-3 organization by the IRS and have registered with the Secretary of State. Please find attached acknowledge letter from the IRS.

Sincerely,

  
John Heller  
Treasurer

  
Donna Robbins  
Acting President

INTERNAL REVENUE SERVICE  
P. O. BOX 2508  
CINCINNATI, OH 45201

## DEPARTMENT OF THE TREASURY

Date:

FEB 15 2006

PORTLAND PLAZA RESIDENT COUNCIL  
3400 PORTLAND PLAZA  
LOUISVILLE, KY 40212

Employer Identification Number:  
38-3708295

DLN:  
17053026003005

Contact Person:  
WAYNE WHITE

ID# 75907

Contact Telephone Number:  
(877) 829-5500

Accounting Period Ending:  
December 31

Public Charity Status:  
170(b)(1)(A)(vi)

Form 990 Required:  
Yes

Effective Date of Exemption:  
June 6, 2005

Contribution Deductibility:  
Yes

Advance Ruling Ending Date:  
December 31, 2009

Dear Applicant:

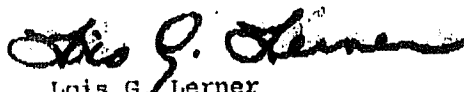
We are pleased to inform you that upon review of your application for tax exempt status we have determined that you are exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code. Contributions to you are deductible under section 170 of the Code. You are also qualified to receive tax deductible bequests, devises, transfers or gifts under section 2055, 2106 or 2522 of the Code. Because this letter could help resolve any questions regarding your exempt status, you should keep it in your permanent records.

Organizations exempt under section 501(c)(3) of the Code are further classified as either public charities or private foundations. During your advance ruling period, you will be treated as a public charity. Your advance ruling period begins with the effective date of your exemption and ends with advance ruling ending date shown in the heading of the letter.

Shortly before the end of your advance ruling period, we will send you Form 8734, Support Schedule for Advance Ruling Period. You will have 90 days after the end of your advance ruling period to return the completed form. We will then notify you, in writing, about your public charity status.

Please see enclosed Information for Exempt Organizations Under Section 501(c)(3) for some helpful information about your responsibilities as an exempt organization.

Sincerely,



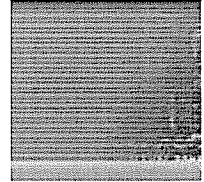
Lois G. Lerner  
Director, Exempt Organizations  
Rulings and Agreements

Enclosures: Information for Organizations Exempt Under Section 501(c)(3)  
Statute Extension

Letter 1045 (DO/CG)

Additional information for question V. on page:

- D. Staffing structure for entire agency...The Council exists with a total volunteer effort. We will use casual labor to provide technical skills or instruction with programs. However, we have no staff and do not have an employee/employer relationship.
- E. The Board is composed to all the residents of Portland Plaza supplemented by Community leader. The Officers are President is Sylvia Crowe, Vice President Donna Robbins, Secretary Lucy Smith and Treasurer John Heller.


 KY Agencies | KY Services | Search  for 


- ☐ Online Business Database Home | Administrative Services | Business Services  
 Elections | Executive | Kentucky Land Office | Secretary's Desk
- ☐ Kentucky Secretary of State Home > **Online Business Data Base**


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[Show Activities Below](#)
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[Statement of Change of Reg. Agent/Office \(PDF\)](#)
[Statement of Change of Principal Office \(PDF\)](#)
☐ Printable Version of this page

|                             |  |
|-----------------------------|--|
| <b>Organization Number</b>  | 0602916  |
| <b>Name</b>                 | PORTLAND PLAZA RESIDENT COUNCIL INC.                       |
| <b>Profit or Non-Profit</b> | N - Non-profit   |
| <b>Company Type</b>         | KCO - Kentucky Corporation                                 |
| <b>Status</b>               | A - Active   |
| <b>Standing</b>             | G - Good   |
| <b>State</b>                | KY   |
| <b>File Date</b>            | 1/7/2005   |
| <b>Organization Date</b>    | 1/7/2005   |
| <b>Last Annual Report</b>   | 3/31/2006  |
| <b>Principal Office</b>     | 3400 PORTLAND PLAZA<br>LOUISVILLE, KY 40212                |
| <b>Registered Agent</b>     | JOHN BARRON<br>3400 PORTLAND PLAZA<br>LOUISVILLE, KY 40212 |
| <b>Current Officers</b>     |  |
| <b>President</b>            | <u>SYLVIA CROME</u>  |
| <b>Vice President</b>       | <u>DONNA ROBBINS</u>                                       |
| <b>Secretary</b>            | <u>LUCY SMITA</u>  |



|                  |                     |
|------------------|---------------------|
| <b>Treasurer</b> | <u>JOHN HELLER</u>  |
| <b>Director</b>  | <u>BOBBY BIBB</u>   |
| <b>Director</b>  | <u>JEWELL SMITH</u> |
| <b>Director</b>  | <u>SUE WATHEN</u>   |

**Incorporators and Initial Directors**

|                     |                     |
|---------------------|---------------------|
| <b>Incorporator</b> | <u>JOHN BARRON</u>  |
| <b>Director</b>     | <u>JEWELL SMITH</u> |
| <b>Director</b>     | <u>LUCY SMITH</u>   |
| <b>Director</b>     | <u>BOBBY BIBB</u>   |
| <b>Director</b>     | <u>SUE WATHEN</u>   |

## This organization has no assumed names

**Images Available Online**

Documents filed with the Office of the Secretary of State on September 15, 2004 or thereafter are available as scanned images or PDF documents. Documents filed prior to September 15, 2004 will become available as the images are created.

|           |         |             |            |                                  |
|-----------|---------|-------------|------------|----------------------------------|
| 3/31/2006 | 1 page  | <u>tiff</u> | <u>PDF</u> | <u>Annual Report</u>             |
| 6/6/2005  | 4 pages | <u>tiff</u> | <u>PDF</u> | <u>Articles of Amendment</u>     |
| 1/7/2005  | 1 page  | <u>tiff</u> | <u>PDF</u> | <u>Articles of Incorporation</u> |

**Certificates Available**

Certificate of Existence

Certificate of Registered Agent (Domestic and Foreign)

Click on a certificate title to purchase it. Certificates are \$10.00, payable by credit card or prepaid account. They are stored and returned as PDF documents. You must have Adobe PDF Reader to print the document.

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